



Report 3 - December 2001



This is the third formal report of the Oversight Commissioner for the year 2001, it provides an administrative benchmarking and "snapshot in time" of the institutional progress for the changes proposed by the Independent Commission on Policing for Northern Ireland (Patten Commission), the Police (Northern Ireland) Act 2000 and the updated Implementation Plan of August 2001.

The report provides the Commissioner's introductory comments, followed by his overview of the evaluation results. The evaluation results are then structured into chapters that mirror the topics identified by the Independent Commission. Each chapter begins with a summary that covers

- background
- progress and accomplishments
- areas of concern
- future directions

This is followed in each chapter by a summary of the results of the administrative benchmarking for the period ending 1 October 2001, for each recommendation.

The Introduction provides an explanation of the evaluation process and the context of the September review. The effects of the delay of the Implementation Plan and appointment of the Policing Board upon the evaluation process are noted. As well, the impact of the quick turnaround for the documents requested by the Evaluation Team is acknowledged, and the process will be completed in the December evaluation.

The Overview acknowledges the professional and co-operative responses from the various institutions involved in the change process and the excellent start in fulfilling a very difficult task. Positive progress and accomplishments are noted, from the leadership of the Chief Constable and his commanders, the community response to the recruiting process, to the establishment of the Policing Board.

Areas of general concern related to administrative compliance are highlighted and cover the initial unavailability of completed policies or documents that will be required to implement change. There is also some concern that the front line officers fully understand the change and that the internal programme adequately addresses this.

As for future directions of the review process, it will be expected that all agencies and institutions, with the additional time available, will be able to provide documents to support the required administrative compliance.

This is the third formal report of the Oversight Commissioner for the year 2001. This report is based on the oversight review, which was conducted from 10 September, 2001 to 20 September, 2001. A team of internationally recognised policing experts who are assisting the Oversight Commissioner conducted the oversight review. The review focused on the initial administrative compliance with the recommendations of the Independent Commission on Policing for Northern Ireland (Patten Commission), the Police (Northern Ireland) Act 2000 and the updated Implementation Plan of August 2001.

The foundation for the September 2001 review and the report is contained in the two previous reports submitted by the Office of the Oversight Commissioner. Full details of the Oversight Process and Reports can be found on our Website [www.oversightcommissioner.org](http://www.oversightcommissioner.org). The first report released in January 2001 established the qualifications and background of the team of policing experts carrying out the programme, and set out the general principles that would be utilised in the review process. Specifically

- The intended approach that would be followed and the objectives that would be sought in the oversight process.
- The methodology that would be used to fulfil the general intent of the oversight process to ensure that the recommendations would be implemented and be seen to be implemented.

On 19 September 2001, the Office of the Oversight Commissioner released the second formal report. This report was based on an intensive research programme and focused on the development of 772 Performance Indicators that will be utilised to measure progress and compliance with the recommendations for changes in the policing of Northern Ireland. For purposes of this report and all subsequent reviews, the term Performance Indicators is defined as "the type and amount of information required to measure the progress of implementing the proposed reforms for policing in Northern Ireland."

It is important to reiterate that the Performance Indicators were developed by a team of experts in policing, each of whom has vast experience and a well-deserved reputation for professionalism and integrity. They reviewed historical reports and documents regarding policing in Northern Ireland, the Patten Report, the Police (Northern Ireland) Act 2000 and the updated Implementation Plan of August 2001. In addition, their knowledge of "best practices" in policing was an important factor in the development of the Performance Indicators. The Oversight Commissioner and the team of policing experts conducted on-site research in Northern Ireland by meeting with representatives of numerous public and private institutions who have an interest in the policing issue.

On 10 September 2001, the Office of the Oversight Commissioner commenced a substantive review of the initial progress in complying with the administrative aspects required to implement the recommendations for change in the policing of Northern Ireland. The primary objectives of this review were two fold. The first objective was to determine the status of administrative compliance with the established recommendations through the use of specified Performance



Indicators. The second objective, which is a by-product of the review, was to identify the "benchmark" of exactly where the institutions and agencies were in the change process as of 1 October 2001, so that subsequent reviews can measure progress against an established reference point. Administrative compliance for purposes of the oversight process will be evidenced by policy changes, directives, manual revisions, regulations and orders.

The continued negotiations on the issue of policing in Northern Ireland and the delayed release of an updated Implementation Plan required the Oversight Commissioner to similarly delay the release of the report containing the Performance Indicators until September 2001. This delay had a residual effect on the evaluation that was conducted by the Oversight Team during our September on-site visit.

The eventual result was that the 772 Performance Indicators were only publicly available immediately prior to the time that this review of administrative compliance was commenced. The Performance Indicators are for the most part "best practices" for policing that would normally be in place. However, in fairness to the agencies or institutions that are subject to oversight, they were required to provide the status of their administrative compliance shortly after being provided with the Performance Indicators.

Another factor is the quantity and quality of documents that are required to initiate the review of administrative compliance. Those agencies that have the primary responsibility for implementing many of the recommended changes faced a disproportionate share of the administrative effort. As a result, it is understandable that the staffs at these agencies may have had some difficulty in meeting the required deadline of 1 October 2001, for submission of the administrative documents.

The Oversight Commissioner's Office was cognizant of the factors that may impede the ability of agencies to submit all of the required documents within the time limits that were established. In the event these factors impacted the ability of an agency to provide the documents requested within the scheduled time frames, it should not generally be considered adverse to the objectives of this report nor considered to be a negative review of an individual or the agency. Any gaps will be addressed during our next review in December 2001.

However, it should be noted that the consideration of these external factors must not in any way be considered a comprehensive exemption from the requirement to co-operate with the oversight process. The documents required are for the most part established "best practices" and would be expected to be in place and available on demand. The Oversight Commissioner and his team of policing experts are fully prepared to provide an objective assessment of the reason for compliance or non-compliance. In addition, it is expected, for the reviews to be conducted subsequent to the 1 October 2001 deadline, that there will be demonstrated progress in meeting compliance with the recommendations.

In addition to the bureaucratic factors that have impacted the ability of agencies to provide some of the requested documents for the administrative review, the delay in establishing a Policing Board has been a factor in the ability to measure administrative compliance. The role of the

Policing Board as envisioned in the Commission Report, legislation and the updated Implementation Plan makes the Board a critical factor in many of the proposed reforms by being responsible for direction, review and accountability. Many documents necessary to measure progress require the review and approval of the Policing Board. At the time of the September review, the Policing Board was not formally established. As a result, many of the policy papers, regulations, orders or directives that require the input of the Policing Board were not available. When the Policing Board becomes operational, it is expected that the requested documents will be submitted to the Oversight Commissioner for a determination that administrative compliance has been fulfilled.

The Oversight Commissioner will follow the recommendations of the Independent Commission on Policing for Northern Ireland in conjunction with legislation and Implementation Plan and will be reviewing progress three (3) times per year. This is a reasonable interval in that it allows the agencies and institutions sufficient periods of time to effect change prior to each review. At present, the Oversight Commissioner has established tentative dates of December 2001, April 2002 and September 2002 for on-site reviews. Although the interval between the April 2002 and September 2002 review is longer than optimal, it avoids interfering with the policing issues of the summer.

Although this report is comprehensive in that it focuses on measuring administrative compliance on all of the recommendations, future reviews will concentrate on specific groupings of recommendations. The administrative compliance phase should be the objective that is most attainable in a reasonably short period of time. As agencies comply with the administrative aspects of the change process, the evaluation will concentrate on personal assessments and eventually on-site field reviews to ensure that a specific recommendation has been fully implemented. The Office of the Oversight Commissioner recognises that some of the recommendations will be relatively easy to implement in a short period of time while the more complex recommendations will be implemented in stages over several years.

The most important factor in providing these oversight reviews is the talented team of policing experts who have enlisted to serve in this extremely important project. However, to ensure that our decisions are reflective of "best practices" in policing, we will consult, when needed, with a specially selected panel of police executives under the auspices of the International Association of Chiefs of Police (IACP). It is our intent that through the efforts of the oversight team, along with the assistance of the IACP, our reviews will be at the highest level of professional and international law enforcement.

On a personal note, as a citizen of the United States, I extend my gratitude to all of the kind people of Northern Ireland for their sincere messages of sympathy during the tragic week of 11 September 2001. On 11 September we had just delivered a copy of the Performance Indicators to the Chief Constable when we were notified of the first of the terrorist attacks in New York City.

As that week continued I was notified that a number of friends and law enforcement associates had perished in the attacks on the World Trade Center. The feeling of loss was compounded by



the inability to return home and the difficulty in communicating with people in the United States.

Thankfully the messages of sympathy and support from everyone in Northern Ireland made the trauma of the event more bearable. Public Officials, members of the Clergy, Police Officers and Citizens in general went out of their way to express their support. I will be forever grateful for the memorial services and kindness at this critical period in our history.

**THOMAS A. CONSTANTINE**  
**OVERSIGHT COMMISSIONER**

December 2001

ACPO	Associations of Chief Police Officers
CALEA	Commission on Accreditation for Law Enforcement Agencies
CV	Curriculum Vitae
DCU	District Command Units
DPP	District Policing Partnership
DPPB	District Policing Partnership Board
FCO	Foreign and Commonwealth Office
GAA	Gaelic Athletic Association
GB	Great Britain
GOC	General Officer in Command
HMIC	Her Majesty's Inspectorate of Constabulary
HQ	Head Quarters
NGOs	Non-Governmental Offices
NIHRC	Northern Ireland Human Rights Commission
NIO	Northern Ireland Office
PACE	Police and Criminal Evidence
PBR	Plastic Baton Round
PRRT	Police Retraining & Rehabilitation Trust
RIPA	Regulation of Investigatory Powers Act
RUC GC	Royal Ulster Constabulary George Cross Foundation (s.70 Police Act 2000)
RUC	Royal Ulster Constabulary
UK	United Kingdom
UN	United Nations

▶▶ commissioner's overview





## **Background**

The implementation of the recommendations of the Independent Commission on Policing for Northern Ireland as supported by the Police (Northern Ireland) Act 2000 and the updated Implementation Plan of August 2001 is in our opinion the largest and most complex such task undertaken by a law enforcement agency. As a result, the oversight process to monitor this change process is equally complex. In an effort to ensure the Oversight Commissioner's Report has the proper foundation, the review conducted in September of 2001 included a survey of all of the recommendations. This assessment with its emphasis on administrative compliance provides a "snapshot in time" of exactly where all of the institutions are positioned in the change process. Future oversight reviews will focus on more in-depth evaluations of a specific set of recommendations.

The Oversight Commissioner and the team of policing experts have conducted numerous interviews with the key executives who have the responsibility of carrying out this challenging task of implementing change of such scope and magnitude. In addition, the team has received a number of briefings from key staff members who are involved in the change process. In all of these contacts, the Policing Service and the Northern Ireland Office, which are two of the key components in the change process, have been both professional and co-operative. It is expected that the newly constituted Policing Board, which is a very important factor in fulfilling the objectives of a fresh start for the policing of Northern Ireland, will be equally forthcoming. The overall impression of the Oversight Team is that the Police Service and the other relevant institutions have made an excellent start on fulfilling this very difficult task.

Although the September 2001 Review produced several areas of concern, it is important to remember that there were several factors which impacted the oversight process. The limited amount of time between the publication of the performance Indicators and the deadline for submission of the documents, the quantity and quality of documents requested, and the absence of a Policing Board all contributed to the limitations of agencies to produce evidence of administrative compliance. However, even within the parameters of such limiting factors, the Oversight Team has noted that the "Best Policing Practices" presented during briefings and meetings were very often not available in the form of policies, directives and orders required for demonstrating administrative compliance. Now that the agencies and institutions have had ample opportunity to review the Performance Indicators and document requests it is expected that these concerns will be addressed in future reviews.

## **Progress and Accomplishments**

The responsibility for implementing change of this magnitude in a community that has often been divided on the issue of policing requires extraordinary leadership. In addition, it requires a vision of what contributions a new police service can make to a society that is seeking peace and security. The Chief Constable has demonstrated the leadership qualities that have been necessary to take his agency through this difficult period of time. In order for change to occur, it requires commitment from the top. The Oversight Commissioner and the team of policing experts have in

excess of 225 years of service in law enforcement, much of it in senior positions. In our opinion, the Chief Constable has demonstrated such a commitment. There are numerous key officials in other related institutions who have also worked diligently to support this transition in policing.

The next level of senior staff and members of the change team have also played an important role in initiating the process. The Oversight Team has received a number of briefings from the Change Team and are generally impressed by the talent of the individuals assigned. They appear to have a commitment to carrying out the change process in a manner which will fulfil the intent of the Independent Commission. This continued commitment is critical because the Police Service, like most institutions in the public and private sector, is traditionally challenged by change. This is especially true when the change is of the magnitude and scope being implemented in Northern Ireland. The Change Team with the assistance of academic experts developed a very sophisticated systems approach to monitoring the hundreds of variables and options that are generated in the course of implementing the recommendations. In the opinion of the Oversight Team, the key members of the senior staff have conducted the appropriate research, have a solid grasp of the issues and have to date been co-operative.

The next level of leadership that will be extremely important to carrying out the recommendations at the operational level are the District Commanders. The Police Service restructured into twenty-nine District Command Units and appointed the commanders effective 1 April 2001. It is too early to evaluate the effectiveness of these units because the appropriate support systems and the District Policing Partnerships are not yet in place. However, in May 2001, the Oversight Commissioner visited an excellent change program that was conducted by the Mediation Network of Northern Ireland to assist in preparing the District Commanders for their new responsibilities. The experience, talent and dedication of these new district commanders will be a critical element in the success of this new policing strategy. Based on the observations of the new commanders participating in this program, their commitment to taking on these challenging assignments and desire to lead their new commands in progressive policing was evident.

One of the important goals of the Independent Commission was that the Police Service be more representative of the community. In order to fulfil the intent of this goal, the Northern Ireland Office, the Chief Constable and the Policing Board were tasked to establish recruiting and selection programs which would improve the community representation in the new Police Service. In that the Policing Board was not yet established, the responsibility for assisting with the recruitment program was fulfilled by the Police Authority of Northern Ireland. The results have been positive in attracting significant numbers of candidates from both communities and selecting a class of recruit officers that includes an equal number of Protestants and Catholics from the pool of qualified candidates. By all information available, the recruiting and selection was a success and is an important element in the new policing service.

Although the Policing Board had not been fully established at the time of our September review, it is important to mention that the commencement of the Board in November, 2001 is a significant accomplishment. The Policing Board with its important mandate will be a critical factor in



ensuring the maintenance of an efficient and effective Police Service. In addition, they are responsible for holding the Chief Constable and the Police Service publicly to account for the performance of their function. From public information available at the time of this report, a dedicated and talented group of individuals have been appointed to the Policing Board.

### **Areas of Concern**

One of the primary concerns that developed during the Oversight Review of September 2001, was the limited written policies, directives and orders that were available to support administrative compliance with a large number of the recommendations. As stated previously in this report, the Oversight Commissioner recognises the difficulty the various agencies faced in meeting the requests for evidence of administrative compliance. In fact, at the time of the document requests, the key organisational persons responsible were advised that if certain reports were not available, this should not be considered adverse to the organisation.

During the course of the interviews and briefings prior to September 2001, the members of the Change Team and other key staff evidenced knowledge of the "Best Practices" required and indicated progress on the development of policy and programmes. For that reason, it was surprising that the vast majority of requests for documents that would verify progress on administrative compliance were reported as either not available, a work in progress or just not provided. In recognition of the complicating factors that impacted the September review, the Oversight Commissioner has decided not to report this as having negative implications for fulfilment of the recommendations. However, now that everyone has had time to review the Performance Indicators and the documents required to demonstrate administrative compliance, it is expected that there will be a complete response in future oversight reviews.

A similar area of concern is responses that are not specific to the request or refer the Oversight Team to a third party. The Oversight Team has in the development of the Performance Indicators and the personal delivery of our requests attempted to focus on the need for specificity. In order to provide a fair and proper evaluation of progress, a specific response to a specific inquiry is very important. The Oversight Commissioner and his staff will consult with individuals responsible for providing answers to our requests to ensure that in the future the responses are directly related to the questions asked.

An important concern related to the implementation of the change process involves the responsibilities of the rank and file personnel of the Police Service. Until the recent past, they have been trained in a style of policing and worked in a policing environment that is significantly different from that which will be required of them in the future.

During the course of the on-site visits and reviews, the Oversight Commissioner and the other policing experts had the opportunity to meet with numerous officers and first line supervisors of the Police Service of Northern Ireland. In all of these contacts, the personnel we met with were polite and at the same time very candid about their perceptions of the policing issue. Although they recognise the need for change and evinced a sincere desire to provide police service in a

manner they know exists in most democratic societies, they nevertheless have concerns. This is not unexpected because experience tells us that whenever change occurs in a police agency, it is those at the front end of the system who are most affected by the change. The issues presented most frequently by the front line officers were inadequate recognition for the sacrifices made during difficult and dangerous times and the implications of these comprehensive changes on their own safety and ability to deliver services to the community in a professional manner.

It will be important for everyone involved in the change process to ensure that these officers and first line supervisors are adequately prepared and equipped to carry out the new responsibilities that will be required of them. They often stated their belief that this program of change is the direction that is needed for the policing of Northern Ireland. However, they also expressed a concern that change be real and not cosmetic and, further, that the entire community must support the police service as they embark on this historic change.

In addition, there are several specific areas of concern that are noted as a result of the September review. The responses to requests for documents in the area of training, education and development were disappointing. Although the overall strategy will require the approval of the new Policing Board, there are a number of areas related to training that had been discussed in briefings and presented as already being in place. However, virtually every request for documents in this area was either not available or not finalised. Similarly, documentary evidence of administrative progress on issues involving Special Branch was not available as of 1 October, 2001. It is expected these issues will be addressed and corrected in future reviews.

In the area of public order policing, the Oversight Team expressed a concern regarding protocols and post shooting reviews where there is utilisation of plastic baton rounds. It was the position of the Police Service that only the Police Ombudsman has the responsibility to conduct post incident reviews of each incident where the plastic baton round is utilised. This would conflict with "Best Police Practices" of the need for both external and internal accountability. It would be expected that any use of lethal or less lethal force be subject to rigorous internal examination that would compliment the responsibilities of the Police Ombudsman.

### **Future Directions**

In future oversight reviews, the emphasis will be on securing documentation of administrative compliance for all of the recommendations where such documentary evidence was not available on 1 October 2001. In addition, a number of high priority recommendations will be selected for in-depth analysis by personal evaluation and on-site field visits to determine complete fulfilment of the recommendations.

The representatives of those organisations subject to the oversight process have been professional and co-operative in the initial stages of the process. It is important for the effectiveness and credibility of the oversight process that the attitude of co-operation continues in the future.

▶▶ human rights



## A. Chapter Summary

### Background

In Strand Three of the Belfast Agreement, human rights featured prominently as the first item under the section on 'Rights, Safeguards and Equality of Opportunity'. The Independent Commission on Policing for Northern Ireland was established as part of the Belfast Agreement and released in September 1999 a report titled 'A New Beginning: Policing in Northern Ireland' (The Patten Report). The Independent Commission made the protection of human rights the centrepiece of its recommendations, noting that it is a matter of the philosophy of policing, and should inspire everything that a police service does, and it should be seen as the core of their report. Accordingly, the first seven (7) recommendations of the Independent Commission are devoted to human rights.

### Progress and Accomplishments

During our visits with the identified responsible authorities, full co-operation was received and a positive attitude and commitment were shown. Because the overall human rights plan and the new Code of Ethics have to be approved by the Policing Board, the fact that the Policing Board was not functioning at the end of this evaluation period had a significant impact on administrative compliance.

### Areas of Concern

Although drafts and plans are available for some recommendations, notably the new Code of Ethics, administrative compliance has not generally been achieved. A lawyer with human rights experience was not in place during this evaluation period. The intent of the recommendation was to provide expertise at a senior level to ensure that the necessity of protecting human rights was understood and incorporated throughout the Police Service. The delayed appointment may impact the ability of the Police Service to fulfil the intent of the human rights recommendations in the short term.

### Future Directions

Even with the delay in the commencement of the Policing Board, we hope that the Police Service will develop a plan for incorporating human rights into all its training and practice, as called for by the Independent Commission, with the human rights lawyer advising on these activities. The training component for human rights is particularly important for the new recruit class.

## B. Recommendation Summary

### Recommendation 1 – Human Rights Based Approach to Policing (PI # 1-4)

The Police Service has assigned responsibility at the Assistant Chief Constable (ACC) level, along with a designated Programme Manager. The Police Service reports that its human rights plan and

its schedule for implementation are being prepared. Planning for a human rights based approach to policing will be done in consultation with the Policing Board when fully functioning.

**Recommendation 2 – New Police Oath (PI # 1-4)**

The Police Service has assigned responsibility at the ACC level, along with a designated Programme Manager. The text of the oath, which was provided, is found in section 38(1) of the Police (Northern Ireland) Act 2000. The Act further stipulates that it will be administered to all new recruits. The Chief Constable is required under the Act to acquaint all officers with the Oath and to ensure that they understand it. Plans for implementing this requirement are being prepared by the Training Branch, but were not available by 1 October 2001. Figures were not yet available about either attestation among recruits or efforts to acquaint others with the oath.

**Recommendation 3 – Code of Ethics (PI # 1-7)**

The Police Service has assigned responsibility at the ACC level, along with a designated Programme Manager. Covert policing is not explicitly covered in the code. However, it is the position of the Police Service that covert policing is governed by two UK laws, both which have been deemed compliant with the Human Rights Act 1998. This Act, in turn, introduced the European Convention on Human Rights directly into UK law.

The Code of Ethics must be approved by the Policing Board, after which the Secretary of State can make amendments to existing conduct and disciplinary regulations in order to reflect provisions of the new Code. (See Section 52 of the Police (Northern Ireland) Act 2000).

**Recommendation 4 – Human Rights Training (PI # 1-11)**

The Police Service has assigned responsibility to the Senior Director for Human Resources as well as to the Director of Training, Education and Development. No plans for human rights training have been prepared, nor were documents available responsive to the performance indicators of the Oversight Commissioner.

**Recommendation 5 – Appraisal of Human Rights Performance (PI # 1-3)**

The Police Service has assigned responsibility to the Senior Director of Human Resources. The Service describes this as a "work in progress" and was unable to respond to our inquiries by 1 October 2001.

**Recommendation 6 – Appointment of Lawyer with Human Rights Expertise (PI # 1-3)**

The Police Service has assigned responsibility to the Senior Director of Human Resources. A human rights lawyer was not in place as of 1 October 2001.

**Recommendation 7 – Monitoring Human Rights Performance (PI # 1-4)**

The Police Service has assigned responsibility at the ACC level, but no plans had been prepared or made available by 1 October 2001. The Service did report that the Human Rights Project Team will use the human rights compliance toolkit developed by Associations of Chief Police Officers (ACPO) in developing its plans and policies.

▶▶ **accountability**





## A. Chapter Summary

### Background

In addition to making substantive recommendations about the conduct of police activities in Northern Ireland, the Independent Commission on Policing for Northern Ireland devoted 36 of its 175 recommendations to providing oversight mechanisms designed to ensure accountability of policing to the public and the law. Their recommendations cover the creation of a Policing Board, District Policing Partnerships, a Police Ombudsman, a commissioner and complaints tribunal for covert law enforcement operations, and the strengthening of financial accountability.

### Progress and Accomplishments

Administrative compliance could not be achieved for most of these recommendations because the Policing Board had not been established by 1 October 2001. The Northern Ireland Office had, however, opened a competition for the nine (9) independent members of the Policing Board. Also in September 2001, the Secretary of State invited the four political parties to nominate members to the Policing Board. On 29 September 2001, the Secretary of State announced the full composition of the Policing Board.

The Police Ombudsman was not able to respond by 1 October 2001 with respect to the critical but complicated issue of co-ordinating information systems with respect to complaints and police discipline between her office and the Police Service. We view the creation of such a system as a matter of great urgency.

With respect to covert law enforcement and financial accountability, appropriate assignment of administrative responsibilities has taken place. Moreover, the responsible persons have co-operated fully. Appropriate legislation in the Regulation of Investigatory Powers Act (RIPA) and oversight is in place to deal with Covert Law Enforcement on a uniform UK wide basis.

### Areas of Concern

The critical shortcoming in achieving accountability has been the absence of the Policing Board. Until it is fully functioning, District Police Partnerships cannot be created, community consultation cannot be co-ordinated, the new code of ethics cannot be promulgated, procedures for co-ordinating strategic and operational planning between the Policing Board and the Police Service, as well as for monitoring police performance, cannot be developed. Now that the Policing Board has been appointed, we are encouraged to think that these activities will soon be taken in hand.

We are also concerned that the Police Service and the Police Ombudsman soon develop the technology and managerial understandings for co-ordinating their information systems with respect to complaints and police discipline.

With respect to covert policing, codes of practice have not yet been issued. Nor has full financial responsibility been achieved in the manner envisioned by the Independent Commission, pending operation of the Policing Board.

### Future Directions

Recognising that the Policing Board has enormous responsibilities, we will give particular attention to the schedule they develop for implementation of their responsibility.

## B. Recommendation Summary

### Recommendations 8 and 9 – Creation of a Policing Board (PI # 1-7)

Because the Policing Board had not been appointed by 1 October 2001, administrative compliance with these recommendations was not achieved.

### Recommendations 10, 11, 12 – Police Planning Process (PI # 1-7)

Although administrative compliance was not achieved because the Policing Board had not been appointed, the Police Service had developed and approved a plan for linking strategic and financial planning. A copy of that document was received.

### Recommendation 13 – Monitoring Police Performance (PI # 1-5)

Not applicable at this time.

### Recommendation 14 – Policing Board Role in Police Appointments (PI # 1-4)

Not applicable at this time.

### Recommendation 15 – Policing Board Co-ordination with Other Agencies (PI # 1-4)

Not applicable at this time.

### Recommendations 16, 17, 18, 19 – Composition of Policing Board (PI #1-9)

Not applicable at this time.

### Recommendations 20 and 21 – Devolution of Responsibility for Policing (PI # 1)

Although covered by the Police (Northern Ireland) Act 2000, these provisions had not become operable by 1 October 2001.

### Recommendation 22 – Simplification of Roles in Tripartite Arrangement (PI #1-2)

The Northern Ireland Office reported that this has been accomplished through Sections 24-26 of the Police (Northern Ireland) Act 2000.

### Recommendation 23 – Repeal of Power to Issue Guidance to the Police (PI # 1)

This has been enacted as called for by the Police (Northern Ireland) Act 2000, and will, according to the Northern Ireland Office, be operable when Schedule 8 of the Act commences.

### Recommendation 24 – Operational Responsibility (PI # 1-3)

"Direction and control" of the police is given to the Chief Constable by section 33 of the Police (Northern Ireland) Act 2000. Evidence of administrative compliance will be requested now that a Policing Board has been appointed.



**Recommendation 25 and 26 – Powers to Require Reports and Initiate Enquiries**  
(PI # 1-6)

Provisions for this provided in Sections 59 and 60 of the Police (Northern Ireland) Act 2000. No policy was available on 1 October due to absence of Policing Board.

**Recommendation 27 – Creation of District Policing Partnership Boards (PI # 1-5)**  
Evidence will be requested now that the Policing Board has been established.

**Recommendation 28 – Arrangements for Belfast (PI # 1-3)**

Provided in the Police (Northern Ireland) Act 2000. Administrative compliance not implemented because Policing Board had not been appointed by 1 October.

**Recommendations 29 and 30 – Method of Operation of DPPBs (PI # 1-6)**

Not applicable at this time.

**Recommendation 31 – Administration Costs of DPPBs (PI # 1-3)**

Covered by Schedule 3, section 11, of the Police (Northern Ireland) Act 2000. Not applicable at this time.

**Recommendation 32 – Expenditure by DPPBs (PI # 1-2)**

Not enacted in legislation.

**Recommendation 33 – Consultative Forums at Local Level (PI # 1-6)**

Although the Police Service had assigned responsibility, Consultative Forums had not been established. This recommendation had not been implemented by 1 October because of the absence of a Policing Board.

**Recommendation 34 – Contacts Between Policing Board and DPPBs. (PI # 1-6)**

Not applicable at this time.

**Recommendation 35 – Meetings of the Policing Board (PI # 1-4)**

Not applicable at this time.

**Recommendation 36 – Meetings of the DPPBs (PI # 1-3)**

Not applicable at this time.

**Recommendation 37 – Openness of the Police Service (PI # 1-5)**

The Police Service had assigned responsibility. Because this recommendation must conform to the Freedom of Information Act 2000, a copy of it was provided. The Police Service reports that research has also been undertaken into the implications for this recommendation of the Human Rights Act 2000 and section 75 of the Police (Northern Ireland) Act 2000.

**Recommendation 38 – Role of the Police Ombudsman (PI # 1-4)**

The Police Ombudsman had not responded by 1 October 2001 to the request for administrative information from the Oversight Commissioner.

**Recommendation 39, 40 and 41 - Covert Law Enforcement (PI # 1-9)**

Assignment of responsibility has been made at an appropriate level. The Regulation of Investigatory Powers Act (RIPA) is in effect, with UK wide application. A Surveillance Commissioner has been appointed and has published a 1999/2000 report. A Complaint's Tribunal is appointed and in operation. As of 1 October 2001, Codes of Practice under RIPA had not been issued, but were reported to be under development. Police Service policies with application to RIPA will be examined later when the Codes of Practice are published.

**Recommendation 42 - Strengthening of Financial Accountability (PI # 1-8)**

Assignment of responsibility has occurred at an appropriate level. Documents will be requested in December from the Policing Board, which has a key role in this area. A fully costed Policing Plan was not available, pending a functioning Board. The NIO will produce a Code of Practice on the financial relationships between the Government and the Policing Board and Chief Constable as soon as the Board is functioning. This will be monitored. Documents were produced to demonstrate the Police Service is progressing on the Finance & Resource Management (FARM) Project, and this will be monitored.

**Recommendation 43 - Designation of Chief Constable as Sub-Accounting Officer (PI # 1-5)**

This has not been completed pending the functioning Policing Board required by Section 12 of the Police (Northern Ireland) Act 2000. The Chief Constable will be designated when the Board is established, and NIO will prepare a Code of Practice dealing with the financial relationship between the NIO, Policing Board and Chief Constable, once the Board is functioning. Progress will be monitored in the December review.

▶▶ **policing with the community**



## **A. Chapter Summary**

### **Background**

The Report of the Independent Commission on Policing for Northern Ireland recommended that policing with the community shall be the core function of the police service and the core function of every police station. This theme has implications for the structure of the police, for management, culture, recruitment and training. The long term goal is to deliver truly effective locally-based policing in a way that would put Northern Ireland at the leading edge of such developments in the United Kingdom, Ireland and internationally.

### **Progress and Accomplishments**

The Chief Constable assigned responsibility to a senior Assistant Chief Constable. A conceptual plan is in final draft stage. The Service acquired an early state of intellectual enthusiasm, and some District Command Units (DCUs) must be recognised for pursuing operational initiatives with enthusiasm and determination. The Chief Constable deferred approval of the master plan pending review by the new Policing Board.

Integral support elements of the plan are receiving attention, notably in the sectors of Information Technology, Training and Development and Management and Personnel. The Service established an Analysis Centre with a civilian director to develop a force-wide analytical capability to track crime patterns and complaints. The Analyst Development Program has a clear competence framework based on national standards.

### **Areas of Concern**

While significant conceptual work is complete and some DCUs are pressing forward with initiatives, full scale implementation is awaiting review by the Policing Board. In the interim, the Change Management project team has an opportunity to deal with some minor deviations in the plan, and to pursue development of information systems, analytical services and training support.

The Independent Commission recommended that policing with the community should be the core function of the police service and the core function of every police station. Coupled with recommendations on human rights, no other element of the reform process is more crucial to success of the whole. With evidence of momentum and contained enthusiasm for a formal beginning already demonstrated by some commanders and their staff, it is absolutely essential that a community policing plan be approved and vigorously pursued within a short time frame. Oversight will place great importance on developments here.

### **Future Directions**

Transformation to a community policing style will be measured in years rather than months, although one should expect continuous gains. Institutional progress is dependent on approval of the plan by the Policing Board.

## B. Recommendation Summary

### **Recommendation 44 – Community Policing as a Core Function (PI # 1-11)**

Responsibility for adopting policing with the community as the predominant style of operation was assigned to a senior Assistant Chief Constable.

### **Recommendation 45 – Dedicated Neighbourhood Policing Teams (PI # 1-15)**

The Police Service has designated a responsible person. No progress on this issue. Establishment of neighbourhood policing teams must await approval of the plan by the Policing Board.

### **Recommendation 46 – Service in Neighbourhood Policing Teams (PI # 1-5)**

The Police Service has designated a responsible person. No progress on this issue. Tenure issues in Neighbourhood Policing Teams will be subject to resolution in context of the plan awaiting review by the Policing Board, and as an element in development of a tenure policy by Human Resources.

### **Recommendation 47 – Police Probationary Training (PI # 1-5)**

The Police Service has designated a responsible person. No progress to report. The new Recruit Class will graduate in 2002. Assignment issues will be reviewed with the Service.

### **Recommendation 48 – Patrolling on Foot (PI # 1-8)**

The Police Service has designated a responsible person. Foot patrols are fielded by some stations. Progress with a systemic approach is constrained by absence of an approved plan for policing with the community.

### **Recommendation 49 – Role of Neighbourhood Policing Teams (PI # 1-6)**

The Police Service has designated a responsible person. No progress to report. A proposed role for neighbourhood policing teams is contained in the draft concept paper.

### **Recommendation 50 – Crime and Complaint Pattern Analysis (PI # 1-13)**

A civilian Director of Analytical Services was appointed. The Service is assembling staff and acquiring the technology to support crime and complaint analysis at DCU level.

### **Recommendation 51 – Attendance at Police Training Courses (PI # 1-5)**

The Police Service has designated a responsible person. There is no progress to report on the issue of including District Policing Partnership members and community members in police training courses on problem solving techniques.

▶▶ **policing in a peaceful society**





## **A. Chapter Summary**

### **Background**

The chapter on Policing in a Peaceful Society includes several recommendations covering the appearance of police stations, types of police vehicles, devolved authority, army support, use of emergency powers and other issues affecting the ability of the police service to deliver the kind of law enforcement service a peaceful society will require.

### **Progress and Accomplishments**

The merger of the building branches of the police service and former Police Authority of Northern Ireland (PANI) was a good step towards developing a clear and concise building strategy necessary to successfully comply with Recommendations 52/53. All the Landrovers have had the word "POLICE" added, and 22 are reliveried. The police service reports the increased usage of police cars in place of armoured Landrovers on patrol. Considerable progress has been made by the police service with the adoption and distribution of Force Order 37/2001, The Terrorism Act 2000 – Human Rights and Monitoring Issues. This order sets forth specific procedures for stops and searches under an emergency and responsibility for reporting and review. The three holding centres at Castlereagh, Gough Barracks and Strand Road have been closed, with Gough Barracks closed as of 8 October 2001.

### **Areas of Concern**

A large volume of printed material related to Recommendations 52, 53 and 62 was received. It provided informative background material, but was not indexed or referenced in such a manner to permit effective review. In some cases the material received was not related to the list of documents requested. The RUC Building Strategy Document, and their Business Action Plan for 2001/2002, covers many issues impacting Recommendations 52/53 (Appearance of Police Stations). There are several areas needing clarification in the two documents regarding short and long range plans for new station construction or renovation. As of 1 October 2001, the requested documents concerning the role of the army (58 and 59) were not available to review for administrative compliance with the recommendations. Because the Oversight Commissioner does not have routine access to the Tranman (Transport Management) Computer system, the request for vehicle descriptions and assignments remains open.

The Oversight Commissioner recognises the time problems associated with the 1 October 2001 compliance date; however, copies of the basic or routine documents should be on file and readily available.

### **Future Directions**

A comprehensive briefing on the short and long range plans and strategies for new police stations and renovations, including custody suites, will be necessary during the next evaluation. In addition, consultations with the Chief Constable and General Officer Commanding will be required to resolve the outstanding request for documents concerning the role of the military.

## B. Recommendation Summary

### Recommendation 52 and 53 – Appearance of Police Stations (PI # 1-6)

The police service has designated a responsible person. The police service submitted several reports and plans that have been developed to date, but they do not completely address all of Recommendation 52&53 Performance Indicators. Therefore, full compliance with the requests for documents could not be granted as of 1 October 2001. This is an ongoing project for continuous review by the Oversight Commissioner.

### Recommendation 54 – Devolved Authority of District Commanders (PI # 1-9)

The police service has designated a responsible person. The requested documents were not provided as of 1 October 2001; however reference was made to Chapter 32 of the Police (Northern Ireland) Act of 2000. Review of Force Order 13/2001, Transitional Arrangements for the Introduction of District Command Units, did not specifically identify administrative compliance with Recommendation 54.

### Recommendations 55, 56 and 57 – Police Vehicles (PI # 1-7)

The police service has designated a responsible person. The request for an inventory of current vehicles and their district assignments was not available as of 1 October 2001. The referral of the Oversight Commissioner to the "Tranman (Transport Management) Fleet Computer" system did not address the request for a vehicle inventory. Long range plans to substitute police cars for landrovers, and the corresponding budget information, was not fully received as of 1 October 2001; however progress on the transition was reported.

### Recommendation 58 – Army Support – Security Demands (PI # 1-3)

The NIO and police service have each designated a responsible person. The requested plan to reduce the dependency on military support, consistent with the security situation, was not available as of 1 October 2001.

### Recommendation 59 – Army Support – Public Order Demands (PI # 1-3)

The NIO and police service have each designated a responsible person. The requested plan and report outlining the procedures the police service follows when utilising the military for public order policing, and the actual use of the military in 2001, was not available as of 1 October 2001.

### Recommendation 60 – Emergency Legislation (PI # 1-2)

The NIO has designated a responsible person. A copy of the Terrorism Bill and related Codes were provided.

### Recommendation 61 – Records on the Use of Emergency Powers (PI # 1-5)

The police service has designated a responsible person. The police service provided a copy of Force Order 37/2001, The Terrorism Act 2000 – Human Rights and Monitoring Issues, which outlines in detail the justification and procedures for all stops and searches under an emergency. This Force Order also establishes a reporting and review responsibility for all stops/searches made under the Terrorism Act 2000. No similar written directive or military order from the General Officer Commanding were made available as of 1 October 2001.



**Recommendation 62 – Holding Centres (PI # 1-6)**

The NIO and police service have designated a responsible person. Documents were received reporting that the three holding centres have been closed. The police service provided a copy of a recent annual report by the Independent Commissioner for Holding Centres offering limited statistical information about the number of prisoners, classifications and time held in detention at Gough Barracks and Strand Road (during 2000). Document requests describing the number, location and capacity of the police stations custody suites, and statistical information about prisoners held in detention, were not available as of 1 October 2001. Concerning custody suites, the NIO made reference to the business case prepared by the police service and approved by the HM Treasury. A Scoping Study was submitted by the NIO, but it was not considered due to its designation as a "draft".

**Recommendation 63 – Video Recording in PACE Custody Suites (PI # 1-8)**

The NIO and police service have each designated a responsible person. Because a pilot scheme using video recording is currently in place (October/November 2001) to test the equipment and procedures, the police service did not submit the directives or plans for installing or managing video recordings in custody suites. A Code of Practice for custody suite video recording was not received from the NIO as of 1 October 2001.

**Recommendation 64 – Inspection of Custody and Interrogation Suites (PI # 1-9)**

The NIO and police service have each designated a responsible person. As the Policing Board was not operational as of 1 October 2001, the statutory responsibilities as outlined in Section 73 of The Police (Northern Ireland) Act 2000 have not commenced.

**Recommendation 65 – Objective of an Unarmed Police Service (PI # 1-2)**

The NIO and police service have each designated a responsible person. The Chief Constable reported that the future policy on firearms (being developed) would include a formal review procedure for moving towards an unarmed police service.

▶▶ public order policing



## A. Chapter Summary

### Background

The Independent Commission on Policing for Northern Ireland recognised that the public order policing experience in Northern Ireland differs significantly from that of other police services. It therefore saw the need for significant research into alternative strategic and tactical ways to address public order situations. In addition, the Commission made several recommendations covering the role of the army, establishing a parade partnership and marshal training, and identifying the equipment to be utilised by the police during public order situations or other emergencies.

### Progress and Accomplishments

In April 2001, an 18 member Project Board (Steering Group) prepared and distributed an excellent Paper in response to Recommendations 69 and 70, which address public order equipment. This research paper is thorough and discusses the various technologies available as non-lethal or less potentially lethal alternatives to the baton rounds. It also reviews all the options for use in public order situations. A copy of Force Order 46/2000, Issue, Deployment and Use of Baton Rounds in Situations of Serious Public Disorder, was received from the police service in response to the document request, reference the deployment and use of PBRs. This force order is comprehensive and incorporates the ACPO guidelines on the use of baton rounds, and provides basic reporting requirements when PBRs are "used". The policy includes deployment criteria and requires that incidents of "deployment" be recorded. For Recommendation 72, Police Officers' Identification Numbers, the Chief Constable has directed the placement of individual identification numbers on the front of constable to chief inspector helmets.

### Areas of Concern

The requested information relating to public order deployment (without military support or outside assistance) and plans or policies with the army (related to Recommendation 66, capacity within the police service to deal with public order emergencies) was not available for review as of 1 October 2001. Of the several sub-recommendations contained in Recommendations 67/68, Conditions for the Approval of Parades, only the issue of providing marshals (stewards) for all parades and marshal training was directly addressed. The documents submitted in response to public order equipment (Recommendations 69,70,71,73 and 74) report that the experiences or recommendations from other police agencies or experts have not to date provided clear direction for implementing the policing issues outlined in this chapter. A Project Board paper submitted by the NIO is thorough and detailed, but concludes that no effective alternative has been identified to replace the L5A7 round. The paper also concludes that any new system would have to have the same as or better performance and effectiveness than the L5A7 round, and be less potentially lethal. Further research by the NIO or police service on the tactics and techniques used in public order policing, as well as an alternative to the PBR, will require follow-up review by the Oversight Commissioner. The NIO also reported that it would be the summer of 2002 before a decision is made on an alternative to the baton round.

Plans and agreements with the army for providing support in public order activities were not available on the requested date due. This area will be further discussed with military authorities.

The police service has no accountability policy requiring a post utilization review of each public order incident involving the deployment and/or use of the baton round, but takes the position that such a review is the responsibility of the Police Ombudsman. This is in conflict with established police practice that requires a thorough internal review of each incident involving the use of force and is an area of concern for the Oversight Commissioner.

#### **Future Directions**

Several areas of administrative compliance are outstanding for Recommendations 66-74. The Oversight Commissioner recognises the short time to respond to the 1 October 2001 date. However, the NIO and police service should be able to provide the documents previously requested, or evidence concerning the status of the remaining recommendations, during the next set of scheduled conferences and /or interviews.

## **B. Recommendation Summary**

### **Recommendation 66 – Public Order Emergencies (PI # 1-5)**

The NIO and police service have each designated a responsible person. The police service reported that the Oversight Commissioner's request for estimated costs of public order policing deployments (without military support or outside assistance) is not centrally available. An activity analysis system that will provide this information is being developed and expected to be operational after April 2002. The request for a directive or plan describing criteria for calling out military support, plans or agreements with the army, or data on the 2001 level of army support was not available as of 1 October 2001.

### **Recommendations 67 and 68 – Conditions for the Approval of Parades (PI # 1-5)**

The NIO and police service have each designated a responsible person. Force Order 43/2000, Public Processions/and the Parades Commission, was received in response to the document request seeking a written directive describing the relationship between the police service and the Parades Commission. This force order outlines this relationship in considerable detail and describes the forms to be completed by all parties, but is limited in scope to the issues of providing marshals and training.

### **Recommendations 69 and 70 – Public Order Equipment (PI # 1-10)**

The NIO and police service have each designated a responsible person. The police service reported that the NIO has responsibility for these recommendations. The NIO submitted two current research papers on public order equipment and reported it would be the summer of 2002 before a decision is made on a less potentially lethal alternative to the baton rounds. Once recommendations for particular options have been accepted, procurement, policy guidance and training will follow.



#### **Recommendations 71, 73 and 74 – Police Performance in Public Order Situations** **(PI # 1-17)**

The NIO and police service have each designated a responsible person. The request to the police service for documentation relating to these three recommendations was presented in Force Order 46/2000, Issues, Deployment and Use of Baton rounds in Situation of Serious Public Disorder. This order details the procedures for the issue, deployment and use of baton rounds by the police service, references ACPO Guidelines, the United Nations Code of Conduct for Law Enforcement Officials, and Article 2 of Schedule 1 of the Human Rights Act (1998), and sets forth recording requirements and the officers' qualifications to use baton guns. Although Order 46/2000 requires incidents of deployment of the PBR to be recorded in the Events Policy Book, there is no mechanism to collate reports centrally on deployments, therefore the deployment data requested was not available as of 1 October 2001. Adequate documentation was not received as of 1 October 2001 concerning (i) a training component for PBR commanders, supervisors and designated police officers, and (ii) an accountability directive requiring a post utilisation review by the police service of public order incidents involving the deployment use of the baton round. Other requests for documents are dependent upon the establishment of the Policing Board.

#### **Recommendation 72 – Police Officers' Identification Numbers (PI # 1-4)**

The police service has designated a responsible person. The documents provided by the police service require constables to chief inspectors to display individual identification numbers on the front of each helmet, centred above the word "POLICE". The Commission Report recommendation addresses protective clothing. The police service has designated the helmet as protective clothing.

▶▶ management and personnel





## **A. Chapter Summary**

### **Background**

The Independent Commission called for extensive change to the management style of the Police Service, featuring devolution of authority to district level, enhanced internal accountability, a reduction to the length of tenure of assignment in specialized positions and a sickness absence program to deal effectively with pattern absenteeism. Further recommendations proposed a rigorous programme of civilianisation and other efficiency measures.

### **Progress and Accomplishments**

The Chief Constable established a Change Management Team under direction of a senior Assistant Commissioner in September 1999, with a mandate to direct, manage and support the change process in its initial stages. The action plan is unparalleled in scope and dynamic in nature. The Service is working diligently and with considerable skill. Outside consultants on the management of change were engaged and these sources are freely accessed by the Service. The change process was described in the Chief Constable's Foreword in the Police Authority Policing Plan 2001-02.

Responsibility for the management efficiency program resides with the Senior Director of Human Resources and the Director of Finance. Formal arrangements were made to link financial management with the overall change strategy. A plan for devolvement of budget authority was approved in July 2001.

The Service introduced a comprehensive Managing Attendance Policy in February 2001, responding to recommendations of the Independent Commission on sickness absence. New Conduct Regulations were issued in 2000. These Regulations are subject to change with introduction of a Code of Ethics (Recommendation 3) following approval by the Policing Board.

### **Areas of Concern**

Developmental work on a new Police Appraisal System was started but there is no outline yet available. The Service will take due account of the National Competency Framework. Architects of the new system also require input from the internal groups developing policy on human rights and the comprehensive plan for community policing. A new systemic process to ensure accountability of District Commanders is held in abeyance until the first stage of devolved authority is assimilated.

The Service advises that Commission recommendations ensuring high ethical standards, random checks and the tracking of trend information on public complaints are in process but awaiting a protocol with the Police Ombudsman and a review of investigatory powers. Effective systems support is another factor needing attention. Uncertainty and delay over this issue is a matter of serious concern. The new police fund to assist injured, injured retired officers and police widows was not in place as of 1 October, 2001. The recommended rigorous process for civilianisation has yet to be set in motion, although planning has begun.

### Future Directions

Oversight will focus on indicators of success of the sickness absence program. Progress with a formal process of civilianisation is another expectation. Of critical concern is the creation of an effective protocol and communication linkage with the Police Ombudsman.

## B. Recommendation Summary

### Recommendation 75 – Police Management of Change (PI # 1-7)

The Police Service has designated a responsible person. The Change Management Team made a creditable beginning to this long term process of organisational change. Continuity and perseverance will be needed to sustain momentum.

### Recommendation 76 – Devolved Authority of District Commanders (PI # 1-8)

The Police Service has designated a responsible person. The Service moved rapidly to establish 29 new District Commands on 1 April, 2001.

### Recommendation 77 – Police Appraisal System (PI # 1-9)

The Police Service has designated a responsible person. There is no appreciable progress to report on a new police appraisal system.

### Recommendation 78 – Accountability of District Commanders (PI # 1-6)

The Police Service has designated a responsible person. Progress on the systematic measurement of accountability of District Commanders awaits stabilisation of the management processes at DCU level.

### Recommendation 79 and 80 – Trend Information on Complaints (PI # 1-9)

The Police Service has designated a responsible person. A system to inform the Service of trend information on public complaints was not available by 1 October, 2001.

### Recommendation 81 – Random Checks on Officers' Behaviour (PI # 1-9)

A senior executive officer has been assigned responsibility but by 1 October 2001 there was no general direction defined regarding random checks of officer behavior.

### Recommendation 82 – Ensuring High Ethical Standards (PI # 1-5)

The Police Service has designated a responsible person. New Conduct Regulations for the Service were introduced in 2000. Proof of compliance was not available for examination.

### Recommendation 83 – Tenure Policy on Police Postings (PI # 1-6)

The Police Service has designated a responsible person. There is no appreciable progress to report on development of a tenure policy on police postings.

### Recommendations 84, 85 and 86 – Management of Sickness Absence (PI # 1-15)

The Police Service has designated a responsible person. A comprehensive sickness absence directive was issued in February 2001, fulfilling the policy requirements for these recommendations. The focus of oversight will now shift to monitoring performance.



**Recommendations 87 and 88 – New Police Fund/Funding for Widows' Association**  
**(PI # 1-9)**

The Police Service has designated a responsible person. Policy is not available on this recommendation for a new police assistance fund and funding for the Widows' Association.

**Recommendation 89 – Replacement of Assistant Chief Constables (PI # 1)**

Senior management positions in Human Resources and Finance are now filled by qualified civilian managers.

**Recommendations 90, 91 and 92 – Efficiency Initiatives (PI # 1-9)**

The Police Service has designated a responsible person. Various efficiency initiatives are under consideration and require further monitoring.

▶▶ information technology



## A. Chapter Summary

### Background

The report of the Independent Commission on Policing recommended an urgent, independent and in-depth strategic review of the use of information technology (IT) in policing. Ambitious and far reaching objectives were proposed to devise a properly resourced plan that would place the Service at the forefront of law enforcement technology within 3 to 5 years

### Progress and Accomplishments

The Chief Administrative Officer, Administration & Support Department, was designated the responsible person for meeting the requirements for oversight. In August 2001 the Service completed a report entitled Information Systems Strategy 2000/01 – 2004/05, documenting efforts to meet the current and future IT needs of the Service and the terms of Recommendation 93. An independent validation of the plan was conducted in parallel by a qualified expert on information strategy and planning. The evaluation report was issued 7 August, 2001.

The Strategic Plan is designed to deliver integrated technology systems readily available to all staff. The plan provides assurance that the Service fully intends to advantage the best analytical and communications systems currently available. The user needs survey work, "road show" programme and leadership by a senior police Superintendent fulfills the requirement that operational people play a key role in devising the strategy. The refinement of existing systems plus new features ensures that both command and front line officers will be supported in dealing with crime and disorder, engaging in community problem solving and responding to administrative requirements. A record of funding estimates was received, forecasting expenditures to 2003/04. Actual release of funds is dependent on timely approvals for component parts.

### Areas of Concern

The independent validator reports that Service compliance with Recommendation 93 is critically dependent on

- Provision of funding
- Availability of specialist human resources
- Implementation of the systems integration project
- The calculation and monitoring of risk, paying particular attention to the interdependencies between the various implementation projects

Some minor deficiencies in planning detail were identified for attention. The risk assessment component of the plan will serve as a trip wire for contingencies such as funding or human resource shortfalls. There is a distinct possibility that funds estimated for mobile data equipment and support have been underestimated. Dependent on operational strategies implemented for the core function of policing with the community, this component may require revision. Future iterations of the Annual Policing Plan will be examined for the priority given to information management and technology.

### **Future Directions**

The strategic planning component is now essentially complete. The Service will monitor emerging proposals for a new National Information Systems Strategy to ensure convergence at some future time. From this point forward it must be expected that priorities, work schedules and milestones may change as a normal function of project management. Oversight will focus next on fulfillment of resource needs and progress with implementation.

## **B. Recommendation Summary**

### **Recommendation 93 – Development of Police IT Strategy (PI # 1-14)**

The Police Service has assigned responsibility to the Director of Administrative Services, Administration and Support Department. The strategic plan for information technology with a supplementary report of an independent validator was completed in August 2001. All proofs of compliance for the planning phase are now complete. The focus of oversight now shifts to implementation, with concern for risk factors related to funding, human resource issues, and the complexities of managing integration of plan components.

▶▶ structure of the police service



## **A. Chapter Summary**

### **Background**

The Independent Commission recommended dramatic re-structuring to encourage and facilitate policing with the community. Recommendations called for elimination of the divisional layer of command, District Commands (DCUs) having the same boundaries as District Council areas and a slimmer structure at central police headquarters. Recommendations described significant delegation of authority to District Commanders including control over a devolved budget and all police resources in their district. Special Branch and Crime Branch would come under command of a single Assistant Chief Constable. The Commission anticipated a substantial reduction in the number of officers engaged in security work, and that officers not spend long periods in security work. Other recommendations proposed phasing out of the Full Time Reserve and enlargement of the Part Time Reserve.

### **Progress and Accomplishments**

Responsibility is shared among two Assistant Chief Constables and the Senior Director of Human Resources. There is now a single Deputy Chief Constable position. The post of Deputy Assistant Constable no longer exists.

The progress made with decentralisation is an impressive display of commitment and vigour. Boundaries for 29 DCUs were established matching those of District Councils and commanders assigned effective 1 April, 2001. The Service is in compliance with Section 20 of the Police (Northern Ireland) Act 2000.

Crime Department and Special Branch were brought together under command of one Assistant Chief Constable on 1 April, 2001. Personnel assigned to Special Branch reported a reduction of 89 since the change process began.

### **Areas of Concern**

Plans for the reorganization of Headquarters and the consolidation of support staff in Crime Department and Special Branch are incomplete. As of 1 October 2001 there is no approved plan for reduction of Special Branch. A service level agreement governing the relationship between local Special Branch officers and District Commanders is not in place. Tenure issues in Special Branch have not been resolved. An implementation plan for the phasing out of the Full Time Reserve is not available. A number of resource and legal issues must be resolved before the Service will embark on a recruiting drive for the Part Time Reserve.

### **Future Directions**

Future assessment of the decentralized command structure will focus on progress with resource issues and delegation of authority. The process of change has begun for Special Branch but many issues remain to be addressed. Progress relating to the Full Time and Part Time Reserve will be monitored and reported.



## B. Recommendation Summary

### **Recommendations 94, 95 and 96 – Creation of New District Commands (PI # 1-13)**

The Police Service has designated a responsible person. The structural change for transformation to a decentralised command is now complete. Oversight will focus on objectives for staffing, delegation of authority and provision of systems support.

### **Recommendation 97 – Reorganisation of Police Headquarters (PI # 1-7)**

The Police Service has designated a responsible person. A definitive plan for the re-organisation of Headquarters was not available.

### **Recommendation 98, 99 and 101 – Special Branch (PI # 1-10)**

The Police Service has designated a responsible person. Special Branch and Crime Branch were brought together under one Assistant Chief Constable. A systemic plan for the reduction of Special Branch was not available. The amalgamation of support units has not begun.

### **Recommendation 100 – Informing District Commanders about Security Operations (PI # 1-5)**

The Police Service has designated a responsible person. A protocol for the relationship between Special Branch officers and District Commands was not in place by 1 October, 2001.

### **Recommendation 102 – Police Postings in Security Work (PI # 1-6)**

The Police Service has designated a responsible person. A tenure policy applying to members of Special Branch is not in place.

### **Recommendation 103 – Phasing out of Full Time Reserve (PI # 1-7)**

As of 1 October, 2001, there was no plan in place to phase out the Full Time Reserve.

### **Recommendation 104 – Enlargement of Part Time Reserve (PI # 1-10)**

The Police Service has designated a responsible person. No proofs of compliance were available regarding enlargement of the Part Time Reserve.

▶▶ size of the police service



## A. Chapter Summary

### Background

Based on a belief that Northern Ireland would become a more peaceful society, the Independent Commission Report recommended that the size of the police service over the next 10 years be reduced to 7,500 full-time regular police officers. As a part of this reduction in force, there are five (5) follow-up recommendations addressing severance packages for those officers who voluntarily retired, retraining opportunities, transfers to other police agencies in Great Britain, and possible service in the United Nations peacekeeping operations.

### Progress and Accomplishments

Because of these opportunities and the offer of improved benefits, both full-time police officers and full-time reservists have applied for separation. As a result, the police service reported that as of 1 October 2001 the number of full-time officers has dropped below the 7,500 recommendation which was anticipated by the Independent Commission. Significant progress towards compliance with the three recommendations on severance arrangements (106, 107 and 108) was identified during an examination of the documents submitted by the NIO and police service. Excellent progress towards administrative compliance has been identified for this set of recommendations.

### Areas of Concern

A specific directive or plan outlining or identifying the steps/programs necessary to implement a reduction in size within the 10-year period was not received from the NIO or police service, as of 1 October 2001. At this point a comprehensive plan should have been approved and in place. The early retirement and severance package is in place; however, the retraining programme for police officers could not be verified based on the material (documents) received. The necessary policies and programmes to permit full-time reservists to transfer to police agencies in Great Britain, or serve in a United Nations peacekeeping operation, are under development but are not complete. Based on a review of the documents submitted on 1 October 2001, civilians have not been included in programmes developed for other employment or retraining. The Independent Commission Report specifically includes civilian employees.

### Future Directions

The police service has reported initial progress on reducing the number of regular police officers, apparently through early retirements and other incentives. To date, emphasis has been placed on programmes for police officers, but the needs of the civilian members of the police service must be addressed where applicable in the future. Forthcoming reviews by the Oversight Commissioner will examine both the multi-year plans required to maintain a certain level of attrition and the various severance incentives.

## B. Recommendation Summary

### **Recommendation 105 – Future Size of the Police Service (PI # 1-4)**

The NIO and police service have each designated a responsible person or position. The request to the police service for a copy of the current staffing roster by rank and District assignment was not received as of 1 October 2001; however, it was noted that the roster will be presented at the next meeting with the Oversight Commissioner. It was also reported that the Director of Human Resources would develop a revised plan to reduce the police service to 7,500 full-time officers. The NIO projected a reduction to 7,235 by April 2002; and offered page 43 from the 2001 Updated Implementation Plan as a "directive or plan" to reduce the staffing level to 7,500 over a 3 year period.

### **Recommendations 106 and 107 – Severance Arrangements (PI # 1-9)**

The NIO and police service have each designated a responsible person or position. The police service and NIO submitted several documents and booklets prescribing the severance programme for full-time officers and full-time reservists. They did note that there are authorising regulations still pending. The latest report revealed that 684 regular officers and 141 full-time reservists have formally applied for voluntary severance.

### **Recommendation 108 – Retraining Programme for Police Officers (PI # 1-9)**

The NIO and police service have each designated a responsible person or position. Although the police service reported that a "Comprehensive Outplacement Programme" for full-time officers was in place and operating, the requested documents, including those for describing assistance and retraining, were not provided as of 1 October 2001. The NIO provided a set of booklets that included a small section on assistance and retraining opportunities. There were no documents or programmes submitted as of 1 October 2001, which covered civilian employees.

### **Recommendation 109 – Opportunities in GB Police Forces for Reservists (PI # 1-8)**

The NIO and police service have each designated a responsible person or position. A letter of 9 May 2000 to the police forces in Great Britain seeking career opportunities for "RUC officers", including a spread sheet summarising responses from 37 police forces, was submitted by the police service in response to the request for documents. Several hundred reservists have expressed interest in transferring to 33 different forces. The NIO advises that this programme is under development, with a status report to be provided in December 2001.

### **Recommendation 110 – Opportunities with the UN for Reservists (PI # 1-7)**

The NIO and police service have each designated a responsible person or position. The police service and the NIO reported on 1 October 2001 that the policy or action required to implement this recommendation is under development and an update will be provided in December 2001.

▶▶ **composition and recruitment**



## A. Chapter Summary

### Background

The new beginning for the police service envisaged by the Independent Commission on Policing for Northern Ireland depends to a large degree on the composition of the service being representative of the community it serves. The composition in turn depends upon a sound and successful recruitment programme that reaches and attracts all segments of the population, especially those segments that are under represented. The several recommendations in this chapter address the various components of a sound recruitment programme that will attract, fairly test, objectively vet, and select applicants in a way that results in a truly representative police service.

### Progress and Accomplishments

The Police (Northern Ireland) Act 2000 provides the legislative authority for the contracting of an independent recruitment agency. The Consensia Partnership was hired and conducted the first recruitment, which began in March 2001. During meetings with the change management team, members of the police service, and a representative of Consensia, it was evident that the recruitment programme is well designed, aggressive, and meets contemporary policing standards. Consensia received 20,200 inquiries for applicant information packs, which resulted in 7,843 actual applications of which 35% were Catholic and 40% women.

The recruitment process includes a revised standard of merit, lay involvement, a revised vetting procedure and revised criminal conviction criteria approved by the Chief Constable that are consistent with other police services in the United Kingdom. The Secretary of State has appointed an independent assessor to validate disqualification decisions in cases where the applicants are aggrieved. The recruitment advertising scheme was extensive and reached out to officers serving in other police services. In September, within the recommended six months, Consensia provided the Chief Constable with a merit order list of applicants from which candidates representing 50% Catholic and 50% other than Catholic were appointed into recruit training.

Regulations allowing for part-time working, job sharing and career breaks by civilian members of the police service have been in effect for several years and there is an increasing use of these opportunities. Regulations have been approved authorising part-time working and job sharing for regular police officers.

### Areas of Concern

All applicants are required to meet a new standard of merit. When assessing the possible impact of the new standard of merit on recruitment, it is important to compare it with the previously established standards. Although requested, the previous standards were not available to make this comparison as of 1 October 2001.

As part of the overall recruitment programme, the recommendations call for the lateral entry of officers from other police services, particularly those in the senior ranks; however, this requires

regulations and reciprocal agreements that recognise rank and training equivalence. This is an issue that will require the attention of the Policing Board when it becomes operational.

The recommendations call for efforts to assure that the civilian members of the police service are also representative of the community. As of 1 October 2001, the police service has made little progress with balancing the composition of its civilian work force due to its emphasis on the recruitment of police officers.

The requests for the assignment of individuals responsible for each recommendation have been fulfilled by the NIO and the police service, however, the same were not available as of 1 October, 2001 from the Ombudsman's Office.

#### **Future Directions**

The second 2001 police officer recruitment campaign has commenced. There is considerable political and informal community support for applicants to join the police, but formal community partnerships and liaisons that encourage applicants to join the police service or to establish a police cadet scheme are yet to be formalised. This effort is partially dependent upon the appointment of the Policing Board.

The Policing Board is critical to the successful implementation of the recommendations in this chapter. Its ability to continually assess and encourage support for members of various communities to join the police service will strengthen the recruitment process. The appointment by the Policing Board of an independent advisor to the police panel on disqualification is an integral part of the recruitment process and will also strengthen the process. Once police officer recruitment is stabilised, the police service will be able to direct its attention to the recruitment and composition of its civilian component. A request for documents, to include a responsible person, will be provided to the Policing Board in December, 2001.

## **B. Recommendation Summary**

### **Recommendation 111 – Transfer of Police Civilian Staff (PI # 1-8)**

The NIO and the police service have each designated a responsible person. The demographic make-up of the civilian workforce has been received, but further clarification is necessary. Sections 44 and 46 of the Police (Northern Ireland) Act 2000 provide legislative authority to select civilians for support posts, but regulations relating to this have not yet been made. The plan or strategy to transfer civilians, or take other action that the "cumulative effect" would produce a more representative workforce within the police service, had not been developed as of 1 October 2001.

### **Recommendation 112 – Staff of Policing Board, NIO and Police Ombudsman (PI # 1-7)**

The NIO has designated a responsible person. As of 1 October 2001, evidence of the assignment of responsibility and a response to a request for documents was not received from the Police



Ombudsman. The NIO provided current staffing (diversification) information and its equal opportunity policy, but provided no specific plans to address the issue of a representative work force. As of 1 October, 2001, the Fair Employment and Treatment Order was not available.

**Recommendations 113 and 115 – Support from Community Leaders/Liaison with Schools (PI # 1-9)**

The NIO and the police service have each designated a responsible person. The police service continues to have a work experience scheme in schools and career advisers attend career fairs. Plans, directives, or orders to solicit support from non-governmental parties or to establish outreach initiatives to recruit applicants for the police service have not been formalised and were not available as of 1 October 2001.

**Recommendation 114 – Gaelic Athletic Association (PI # 1)**

No documents were requested during the September review.

**Recommendation 116 – Pilot Police Cadet Schemes (PI # 1-5)**

The police service has designated a responsible position. Section 42 of the Police (Northern Ireland) Act 2000 provides legislative authority for the establishment of a police cadet scheme. As of 1 October 2001, there was no specific information or assessment report on the support level for or the encouragement of a cadet scheme.

**Recommendation 117 – Recruitment Agency/Lay Involvement in Recruitment (PI # 1-6)**

The NIO and the police service have each designated a responsible person. Sections 43 and 44 of the Police (Northern Ireland) Act 2000 provide legislative authority to contract out the recruitment of police officers and civilians and for lay involvement. Secretary of State regulations provide further guidance. The contract for the recruitment of police officers awarded to the Consensia Partnership includes a provision requiring lay involvement. A team of appointed lay assessors were involved in a full decision-making role in the recruit selection process. There has been no contract with an outside organisation for the recruitment of civilians into the police service, however preliminary work on a proposal is underway.

**Recommendations 118 and 119 – Functions of New Recruitment Agency (PI # 1-9)**

The police service has designated a responsible person. The requested documents were not available as of 1 October 2001, but will be provided in December 2001.

**Recommendations 120 and 121 – Selection of Recruits (PI # 1-13)**

The NIO and the police service have each designated a responsible person. Section 46 of the Police (Northern Ireland) Act 2000 provides legislative authority for a recruitment of qualified applicants on a 50:50 ratio of those identified as Roman Catholic or those identified as other than Roman Catholic. A description of the standard of merit for police officers was provided. The previously used standards were requested for comparison to assess the possible impact the new standard of merit may have on recruitment, but they were not available as of 1 October 2001. Civilian competitions are based on merit and in compliance with Equality Commission's Codes of Practice, but as of 1 October 2001 were not provided. Documents specifying each step of the selection process were requested and will be made available in December 2001.



**Recommendation 122 – Opportunities for Part Time Working and Job Sharing**  
**(PI # 1-6)**

The NIO and the police service have each designated a responsible person. Force Order 56/97 outlines part-time working/job sharing for police officers, however, no policy has been established for career breaks. Police Regulations 2001, No. 80 establishes a part-time working arrangement for Full-Time Reservists. Part-time working/job sharing and career breaks for the civilian workforce have been in effect since late 1980, with evidence of those activities being provided on 1 October 2001.

**Recommendation 123 – Child Care Arrangements** (PI # 1-3)

The police service has designated the responsible person. As of 1 October 2001, no documents were available.

**Recommendation 124 – Length of Recruitment Process** (PI # 1-5)

The police service has designated a responsible person. The police service and the recruitment agency contract requires that the recruitment process be no more than six months in length; however, that specific provision of the contract was not provided for review. The first recruitment began 30 March 2001, and the merit order list of applicants from which candidates were appointed into training was provided to the Chief Constable on 10 September consistent with the recommendation. The independent recruitment agency maintains contact with applicants throughout the recruitment process, which is described in the 2001 Applicant Packet.

**Recommendation 125 – Disqualification from Entry into the Police Service** (PI # 1-9)

The NIO and the police service have each designated a responsible person. The Chief Constable approved new criminal conviction criteria that are in line with other police services in the United Kingdom. Police (Recruitment) (Northern Ireland) Regulations 2001 require that the Chief Constable include in the vetting panel a member nominated by the Policing Board. Since the Policing Board was not operational on 1 October 2001, details regarding this appointment were not available. Documents were received describing the appointment of Richard Chambers QC by the Secretary of State as the Independent Assessor.

**Recommendation 126 – Registration of Notifiable Memberships** (PI # 1-5)

The police service has designated a responsible person. There are no directives or orders requiring officers to register their interests and associations as of 1 October 2001.

**Recommendations 127 and 128 – Lateral Entry** (PI # 1-7)

The NIO and the police service have each designated a responsible person. Section 45 of the Police (Northern Ireland) Act 2000 provides legislative authority for the Policing Board in respect to senior police officers, and the Chief Constable in respect to other ranks, to seek applicants from other police services, including the Garda Síochána. Policies, directives and orders pertaining to these recommendations are contingent upon action by the Policing Board. As of 1 October 2001, the Policing Board was not operational, therefore, these documents were not available.

▶▶ training, education and development strategy



## A. Chapter Summary

### Background

The Report of the Independent Commission on Policing for Northern Ireland addressed the subject of Training, Education and Development Strategy and focused on the concept that if the Police service was to succeed with the proposed critical transformation there needed to be radical changes in this particular area.

The Report pointed to the need to move to a service where problem-solving exercises, self-awareness and peer-assessment would be the mainstay. The emphasis was explicit in recommending that importance be placed on respect for human rights of all and, in doing so, there be no dichotomy between the exercise of police duties and the protecting and vindicating of human rights. The Report recommended the immediate development of a Training, Education and Development (T.E.D.) Strategy for both recruit and in-service training programs. It was recommended that the concepts of human rights, partnerships, devolution of responsibilities to the front line and community policing as a core function should be foremost in the training programs. It was emphasised that the T.E.D. Strategy be linked to the overall aims of the Report and to the objectives and priorities set out in the policing plans. These plans should not only incorporate training and development requirements but also specifically address the establishment of a comprehensive training and development budget. The Report was specific in identifying the need for a new state of the art Police College with appropriate funding being set aside for the project. It is an ambitious long-term project that is critical to the T.E.D. Strategy.

### Progress and Accomplishments

During our visits with the identified responsible authorities, full-cooperation was received and a site visit of The College for Training, Education and Development (Police College) was provided. It was indicative of a positive response and commitment to the implementation of recommendations dealing with the T.E.D. Strategy.

Our initial step of Administrative Compliance was to identify for all Performance Indicators (PI's), the person responsible within the agencies. The information and request from the Oversight Commissioner was forwarded to the Chief Constable and will be subject to further in-depth review in December. We are cognizant of the role of the Policing Board and are acutely aware of the present transition period. There are several actions that are not completed pending the Board's approval. We were nonetheless impressed by the expressed commitment by those designated as responsible for action to move these recommendations to a fruitful conclusion.

Notwithstanding the apparent commitment, general administration compliance has not been completed for these sections. In view of the importance attached by the Independent Commission, to training, education and development as a cornerstone to the transformation progress, it is the Oversight Commissioner's intention to closely monitor progress.

### Areas of Concern

It is our assessment that there are areas of concern, bearing in mind the report recommendations that are premised on the i) new constitutional arrangements for Northern Ireland ii) new policing arrangements set out in the Report itself and iii) overall change in the criminal justice system.

While there has been reported progress and apparent pressing forward with initiatives, we recognise that the absence of a Policing Board has seriously impacted progress. There remains concern over the lack of the development of a T.E.D. Strategy that compliments or is interlinked to several of the recommendations in the report.

The need for a Police College to implement all training is extremely important and the absence of a meaningful training capacity would potentially have a negative impact. There is concern that appropriate funding for the new Police College be identified and dedicated to this important project. It is important to stress that as a result of the Oversight Commissioner's review few, if any, of the policy and directives were available as of 1 October 2001. This is an area of concern.

### Future Directions

We have commented that work was in progress in several areas, and it is expected that positive results will have occurred and will surface during our subsequent evaluation in December 2001. We believe that the complexity of the issue of Training, Education and Development Strategy needs to be closely monitored to ensure that the different areas of responsibility are developed in-line with the stated objectives.

## B. Recommendation Summary

### **Recommendation 129 – Training, Education and Development Strategy (PI # 1-14)**

The Police Service has designated a responsible person. The Training, Education and Development Strategy is reported to have been approved by the Training Policy Group and will form the basis of a training mission statement contingent upon the Policing Board's approval. Little administrative compliance is evidenced and although there is reported progress, no documents have been provided as requested for 1 October 2001 deadline.

### **Recommendation 130 – Training and Development Budget (PI # 1-4)**

The Police Service has designated a responsible person. No administrative compliance is evidenced and progress is contingent upon a Policing Board being in place.

### **Recommendation 131– New Police College (PI # 1-6)**

The lead agencies responsible for this project have been identified as the Police Service, Policing Board and NIO Project Board, chaired by the Deputy Chief Constable. The executive members include representatives from the police service (Human Resources Directorate and Director of Finances), NIO, and the Government Purchasing Agency. Administrative compliance is minimal and is contingent upon the Policing Board being in place.



**Recommendation 132 – Service Level Agreements on Training (PI # 1-8)**

A responsible person has been designated for the Police Service. There is no administrative compliance as of 1 October 2001 and work is in progress.

**Recommendation 133 – Civilian Input Into Recruit Training (PI # 1-14)**

A responsible person has been designated for the Police Service. There was no administrative compliance as of the 1st October 2001 and the documentation requested is not available. There is an indication that training modules are outsourced to the University of Ulster and development of timelines and financial considerations are reported as 'in progress'. The qualifications for assignment to the Police College, including training and certification in both adult learning and the core areas they will teach, is reported to be undertaken by the Foundation Faculty. The administrative compliance is not completed and there is a pressing need for follow-up in view of the critical nature of this recommendation.

**Recommendation 134 – Training of Civilian Recruits (PI # 1-4)**

Responsibility has been assigned. The response from the Police Service points to this recommendation being partially covered in the Training, Education and Development Strategy. Our assessment indicates no verifiable administrative compliance as of 1 October 2001.

**Recommendation 135 – Achievement of Academic Qualifications by Recruits (PI # 1-5)**

Responsibility has been assigned. There is no administrative evidence of compliance as of 1 October 2001.

**Recommendation 136 – Timing of Attestation as a Constable (PI # 1-5)**

The Police Service has designated a responsible person. No administrative compliance is evidenced as of the 1st October 2001. There is an assertion that much work is in progress and that will hopefully provide a response at the next review. There is a joint responsibility with the Police Service and the NIO on the development of protocols. A similar request will be submitted to the NIO in December 2001.

**Recommendations 137, 138 and 139 – Contents of Recruit Training Programme (PI # 1-7)**

The Police Service has assigned responsibility. There is no administrative compliance, as of 1 October 2001.

**Recommendation 140 – Tutor Officer Scheme, (PI # 1-3)**

The Police Service has completed assignment of responsibility. Documentary evidence of completion of the remaining Performance Indicators was not available as of 1 October 2001. We recognise that Recruit and Tutor training programmes should have been developed by 1 October 2001.

**Recommendations 141, 142, 143 and 144 – Training Needs and Priorities (PI # 1-8)**

The Police Service has completed assignment of responsibility. Documentary evidence of completion of the remaining Performance Indicators was not provided as of 1 October 2001.

**Recommendation 145 – Joint Training with Civilian Analysts (PI # 1-4)**

The Police Services has completed assignment of responsibility. The response suggested work in progress, however, documentary evidence of completion of the remaining Performance Indicators was not provided as of 1 October 2001.

**Recommendation 146 – Neighbourhood Policing Training Programme (PI # 1-5)**

The Police Service has completed assignment of responsibility. Documentary evidence of completion of the remaining Performance Indicators was not provided as of 1 October 2001.

**Recommendation 147 – Publication of Training Curricula (PI # 1-4)**

Assignment of responsibility was completed, however, documentary evidence of completion of the remaining Performance Indicators was not provided as of 1 October 2001.

**Recommendation 148 – Public Attendance at Police Training Sessions (PI # 1-3)**

The Police Service has assigned responsibility. Documentary evidence of completion of the remaining Performance Indicators was not available as of 1 October 2001.

**Recommendation 149 – Pilot Citizens Course (PI # 1-3)**

The Police Service has assigned responsibility. Documentary evidence of completion of the remaining Performance Indicators was not available as of 1 October 2001.

▶▶ culture, ethos and symbols



## **A. Chapter Summary**

### **Background**

Lead responsibility for the change of name was assumed by the NIO, while the badge and flag issue are shared by the NIO, Chief Constable and Policing Board. The Chief Constable and the Board will resolve the uniform question. Recommendations affecting existing police memorials and guidelines describing a neutral working environment round out this Chapter.

### **Progress and Accomplishments**

The new name is the Police Service of Northern Ireland, (PSNI), formally adopted on November 4, 2001, consistent with Section 1 the Police (Northern Ireland) Act 2000. The badge and flag issue are awaiting decision by the new Policing Board in their advisory capacity to the Secretary of State. The Chief Constable assigned responsibility for the implementation of changes to command level officers of the Service where appropriate. In the interim, the Service has undertaken a scoping of the nature and extent of work to be completed. Beyond resolution of the style of uniform are logistical issues such as vehicle markings, new forms, stationery and signage.

The Service conducted extensive research into provision of a more practical police uniform, including numerous internal surveys and focus groups. Police management researched uniform styles and clothing options used by comparable police services and carried out extensive consultations with prospective suppliers. Health, safety, equal opportunity and legal considerations were taken into account. When the new uniform is issued all police officers will display identifying numbers in accordance with the Police (Northern Ireland) Act 2000, Section 55.

A business case for the new uniform was presented to the Police Authority for Northern Ireland (PANI) on 9 August, 2000 and decisions were made on various dates thereafter to proceed with procurement of all clothing pending resolution of the badge and symbols issue. With the exception of a few late deliveries, the complete new uniforms are held in storage awaiting decisions by the Board.

### **Areas of Concern**

Timely decisions on badges and other symbols by the Policing Board are required to follow through on the work completed by the Service. The guidelines and regulations assuring a neutral working environment were not complete on 1 October 2001.

### **Future Directions**

Oversight will focus next on the decisions of the Policing Board as it proceeds towards resolution of unfinished business regarding symbolic issues. A neutral working environment is an important factor in sustaining the process of cultural change within the Service. Attention will be directed towards progress with approval and implementation of a policy to achieve compliance.



## **B. Recommendation Summary**

### **Recommendation 150 – Name of the Police Service (PI # 1-4)**

The new name of the service was adopted on 4 November, 2001 in accordance with Section 1 of the Police (Northern Ireland) Act 2000.

### **Recommendation 151, 152 and 153 – Badge and Flags (PI # 1-5)**

The Police Service has designated a responsible person. There is no progress to report on adoption of a new badge and symbols.

### **Recommendation 154 – Police Uniform (PI # 1-6)**

The Police Service has designated a responsible person. Research and approval of a more practical uniform was accomplished by the Service in consultation with the Police Authority. Decisions by the Policing Board on the badge and symbols are the next necessary step.

### **Recommendation 155 – Police Memorials (PI # 1-3)**

The Chief Constable has assigned responsibility for Police Memorials to a command officer.

### **Recommendation 156 – Neutral Working Environment (PI # 1-4)**

The Police Service has designated a responsible person. Developmental work has begun on measures to assure a neutral working environment. The policy was not in place by 1 October, 2001.

▶▶ co-operation with other police services



## **A. Chapter Summary**

### **Background**

The Independent Commission discussion in this area recognised the excellent operational co-operation between the Royal Ulster Constabulary and other police agencies, around the world. However, they did believe it could be improved, noting that the globalisation of crime requires police services around the world to collaborate with each other more effectively. They also noted that the exchange of best practice ideas between police services will help the effectiveness of domestic policing. A key procedural impediment, cited as a reason for lack of formal progress, is the requirement for the British and Irish Governments to implement a formal Agreement of Co-operation between the Police Service of Northern Ireland and An Garda Síochána.

### **Progress and Accomplishments**

The first step of Administrative Compliance was to identify for all Performance Indicators the person responsible within the agencies. This information has been provided by the Chief Constable and will be requested of the other agencies (British and Irish Government, NIO and Policing Board) in December 2001. While there are expressed commitments to move forward, generally administrative compliance has not been completed for these sections and this area will need to be monitored for progress.

### **Areas of Concern**

There are two general issues of concern at the moment i) the identified need to have a government to government agreement in place before substantial movement on Recommendations 157 – 165 ii) A need to strategically reflect on the recommendations in this chapter to determine whether or not the Police Service is positioned and committed to achieving demonstrated results in these areas.

### **Future Directions**

Full administrative compliance needs to be achieved for this area. The Policing Board and NIO will be asked in December for the status of their applicable administrative compliance relating to Recommendations 168 – 171. On subsequent evaluations, it is expected that progress will have occurred in the following areas i) the governments will have progressed on the Agreement for Co-operation between the Police Service and An Garda Síochána ii) the Police Service will have considered a comprehensive approach within the area of Co-operation with other Police Services.

## **B. Recommendation Summary**

### **Recommendation 157,158,159,160,161,162,163 and 164 – Co-operation Between The Police Service And An Garda Siochana (PI # 1 – 11)**

A responsible person has been designated for the Police Service. Little administrative compliance is evidenced and the lack of a formal co-operation agreement between the British and Irish Governments is cited as the reason.

### **Recommendation 165 - Joint Database Development with The Garda (PI # 1 – 5)**

A responsible person has been designated for the Police Service. Administrative compliance is not complete, citing the lack of the Agreement between governments. This is linked via a program of work with the IT Strategy from Recommendation 93.

### **Recommendation 166 and 167 - Personnel Exchanges with GB Police Services (PI # 1 – 3)**

The Police Service has assigned responsibility, and the same will be requested of NIO in December. Some documentation is in place relating to management exchanges. This area will have to be considered further in relation to strategic aims of the Police Service for the broad area of co-operation within operations, exchanges, training and foreign missions.

### **Recommendation 168 - Links Between Policing Training Colleges (PI # 1-4)**

The Police Service has assigned responsibility and plans are being developed. Memorandum of Understandings (MOUs) concerning training agreements have not yet been prepared, nor is data available on the number of officers participating in joint training. This will be followed up.

### **Recommendations 169 and 170 - International Training Exchanges (PI # 1-3)**

Although the Police Service has assigned responsibility, data about existing training exchanges were not provided. This will be followed up.

### **Recommendation 171 – United Nations Peacekeeping Operations (PI # 1-2)**

The Police Service has assigned responsibility. Statistics on deployments of the Police Service to the International Police Service in Bosnia, the UN Mission in Kosovo, and the Organisation for Security and Co-operation in Europe in Kosovo were supplied.

▶▶ oversight commissioner



## **A. Chapter Summary**

### **Background**

It was the belief of the Independent Commission that an independent and eminent person, from outside the United Kingdom or Ireland, should be selected to oversee the implementation of the recommendations. The Governments agreed and Mr. Tom Constantine was selected, accepted the duty and was appointed in May of 2000 for a three (3) year term. Statutory backing is found in the Police (Northern Ireland) Act 2000, at Sections 67-68 and Schedule 4.

### **Progress and Accomplishments**

The Oversight Commissioner has established an office and small staff in Northern Ireland, along with a United States and Canadian team of experienced senior law enforcement and academic experts to evaluate and report on the progress of change. This is the third public report for 2001, and full details can be located on our Web Site [www.oversightcommissioner.org](http://www.oversightcommissioner.org).

### **Areas of Concern**

There are no concerns at the present time. Full co-operation from all the stakeholders has been provided and is expected to continue. Adequate current resourcing and support have been received from Government, along with respect for our complete independence.

### **Future Directions**

Reports will be submitted three (3) times per year on an approximate schedule of April, September and December.

## **B. Recommendation Summary**

### **Recommendation 172 – Overseeing Change (PI # 1)**

This is completed.

### **Recommendation 173,174 and 175 – Functions of Commissioner (PI # 1-3)**

Reports are being provided by the different agencies in response to the Commissioners requests. In turn, the Commissioner is reporting publicly three (3) times per year.



▶▶ notes